

## TRANSMITTAL LETTER TO THE UNITED STATES

113.100

DESIGNATED/ELECTED OFFICE (DO/EO/US)

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR

CONCERNING A FILING UNDER 35 U.S.C. 371

None

09/462435

INTERNATIONAL APPLICATION NO.

INTERNATIONAL FILING DATE

PRIORITY DATE CLAIMED

PCT/DE98/01908

9 July 1998

10 July 1997

TITLE OF INVENTION

WAVE FIELD MICROSCOPE, METHOD FOR A WAVE FIELD MICROSCOPE, INCLUDING FOR DNA SEQUENCING, AND CALIBRATION METHOD FOR WAVE FIELD MICROSCOPY

430 Recd PCT/PTO 07 JAN 2000

APPLICANT(S) FOR DO/EO/US

Michael HAUSMANN, Christoph CREMER, Joachim BRADL and Bernhard SCHNEIDER

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
  - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ A copy of the International Search Report (PCT/ISA/210).
8. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
9. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
10. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

## Items 13 to 18 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.  
A **SECOND** or **SUBSEQUENT** preliminary amendment.
16. ☐ A substitute specification.
17. ☐ A change of power of attorney and/or address letter.
18. ☒ Certificate of Mailing by Express Mail
19. ☒ Other items or information:

- Letter Re: Priority  
- Unexecuted Declaration and Power of Attorney

09/1462435

PCT/DE98/01908

113.1004

20. The following fees are submitted:

CALCULATIONS PTO USE ONLY

## BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):

430 Rec'd PCT/PTO 07 JAN 2000

- ☒ Search Report has been prepared by the EPO or JPO ..... \$840.00
- ☐ International preliminary examination fee paid to USPTO (37 CFR 1.482) ..... \$670.00
- ☐ No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)) ..... \$760.00
- ☐ Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... \$970.00
- ☐ International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) ..... \$96.00

ENTER APPROPRIATE BASIC FEE AMOUNT =

\$840.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).

\$0.00

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE
Total claims	16 - 20 =	0	x \$18.00
Independent claims	4 - 3 =	1	x \$78.00

\$0.00

\$78.00

Multiple Dependent Claims (check if applicable) ☐

\$0.00

TOTAL OF ABOVE CALCULATIONS =

\$918.00

Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28) (check if applicable) ☐

\$0.00

SUBTOTAL =

\$918.00

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).

\$0.00

TOTAL NATIONAL FEE =

\$918.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable) ☐

\$0.00

TOTAL FEES ENCLOSED =

\$918.00

Amount to be:

refunded

\$

charged

\$

☒ A check in the amount of \$918.00 to cover the above fees is enclosed.

☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.

☒ The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. 50-0552 A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

William C. Gehris, Reg. No. 38,156  
DAVIDSON, DAVIDSON & KAPPEL, LLC  
1140 Avenue of the Americas, 15th Floor  
New York, New York 10036

SIGNATURE

William C. Gehris

NAME

38,156

REGISTRATION NUMBER

January 7, 2000

DATE

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

Applicant(s): Michael HAUSMANN, et al.

Docket No.

113.1004

Serial No.

To Be Assigned

09/462435

Filing Date

Herewith

Examiner

To Be Assigned

Group Art Unit

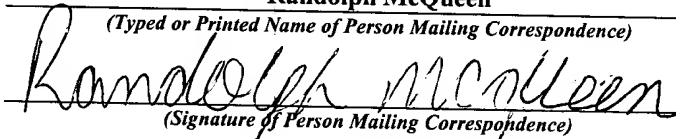
To Be Assigned

 Invention: WAVE FIELD MICROSCOPE, METHOD FOR A WAVE FIELD MICROSCOPE, INCLUDING  
FOR DNA SEQUENCING, AND CALIBRATION METHOD FOR WAVE FIELD MICROSCOPY

 I hereby certify that this Preliminary Amendment
*(Identify type of correspondence)*

 is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under  
37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on  
January 7, 2000  
*(Date)*

Randolph McQueen

*(Typed or Printed Name of Person Mailing Correspondence)*

*(Signature of Person Mailing Correspondence)*

EL 415728533US

*("Express Mail" Mailing Label Number)*

Note: Each paper must have its own certificate of mailing.

09/462435

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

Docket No.

Applicant(s): Michael HAUSMANN, et al.

113-1004

430 Rec'd PCT/PTO

07 JAN 2000

Serial No. To Be Assigned	Filing Date Filed Herewith	Examiner To Be Assigned	Group Art Unit To be Assigned
------------------------------	-------------------------------	----------------------------	----------------------------------

Invention: WAVE FIELD MICROSCOPE, METHOD FOR A WAVE FIELD MICROSCOPE, INCLUDING  
FOR DNA SEQUENCING, AND CALIBRATION METHOD FOR WAVE FIELD MICROSCOPY

I hereby certify that this Filing for National Stage of PCT/DE98/01908

(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under  
37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on  
January 7, 2000

(Date)

Randolph McQueen

(Typed or Printed Name of Person Mailing Correspondence)

Randolph McQueen

(Signature of Person Mailing Correspondence)

EL 415728533US

("Express Mail" Mailing Label Number)

**Note: Each paper must have its own certificate of mailing.**

## CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)

Applicant(s): Michael HAUSMANN, et al.

Docket No.

113-1004

Serial No.

To Be Assigned

Filing Date

Filed Herewith

Examiner

To Be Assigned

Group Art Unit

To Be Assigned

09/462435

Invention: WAVE FIELD MICROSCOPE, METHOD FOR A WAVE FIELD MICROSCOPE, INCLUDING  
FOR DNA SEQUENCING, AND CALIBRATION METHOD FOR WAVE FIELD MICROSCOPY

I hereby certify that this **Letter Re: Priority**

(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under  
37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on  
January 7, 2000

(Date)

**Randolph McQueen**

(Typed or Printed Name of Person Mailing Correspondence)

*Randolph McQueen*

(Signature of Person Mailing Correspondence)

**EL 415728533US**

("Express Mail" Mailing Label Number)

**Note: Each paper must have its own certificate of mailing.**

PATENT APPLICATION SERIAL NO. 09/462435

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE  
FEE RECORD SHEET

01/19/2000 WCLAYBRO 00000042 09462435

01 FC:970	840.00 OP
02 FC:964	78.00 OP